

#3
Attach to paper no. 3

SHEET 1 OF 6

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Felgner et al.	
		FILING DATE December 15, 2000	GROUP Unknown

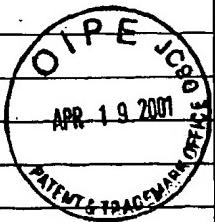
U.S. PATENT DOCUMENTS									
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)			
32	4,160,452	07/10/79	Theeuwes	128	260				
32	4,256,108	03/17/81	Theeuwes	128	260				
32	4,265,874	05/05/81	Bonsen et al.	424	15				
32	4,897,355	01/30/90	Eppstein et al.	435	240.2				
32	5,264,618	11/23/93	Felgner et al.	560	224				
32	559,127	10/17/95	Felgner et al.	514	7				
<i>APR 19 2001</i>									
U.S. PATENT AND TRADEMARK OFFICE									

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
32	WO 98/19503	05/07/98	per WPA				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
32	1. Bukanov, et al., <u>PD-loop: A complex of duplex DNA with an oligonucleotide</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 95:5516-5520 (1998)	
32	2. Chemy, et al., <u>DNA unwinding upon strand-displacement binding of a thymine-substituted polyamide to double-stranded DNA</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 90:1687-1670 (1993)	
32	3. Du, et al., <u>Conformational and topological requirements of cell-permeable peptide function</u> ; <i>J. Peptide Res.</i> 51:235-243 (1998)	
32	4. Egholm, et al., <u>Efficient pH-independent sequence-specific DNA binding by pseudotoscitosine-containing bis-PNA</u> ; <i>Nucl. Acids Res.</i> 23(2):217-222 (1995)	
32	5. Felgner, et al., <u>Enhanced Gene Delivery and Mechanism Studies with a Novel Series of Cationic Lipid Formulations</u> ; <i>J. Biol. Chem.</i> 269(4):2550-2561 (1994)	

EXAMINER	<i>32</i>	DATE CONSIDERED	<i>4/20/04</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Felgner et al.	
		FILING DATE December 15, 2000	GROUP Unknown



EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
32	6. Felgner, et al., <u>Lipofection: A highly efficient, lipid-mediated DNA-transfection procedure</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 84:7413-7417 (1987)
32	7. Felgner, et al., <u>Editorial - Nomenclature for Synthetic Gene Delivery Systems</u> ; <i>Hum. Gene Ther.</i> 8:511-512 (1997)
32	8. Glennie and Johnson, <u>Clinical trials of antibody therapy</u> ; <i>Immunol. Today</i> 21:403-410 (2000)
32	9. Gregoriadis, et al., <u>Liposome-mediated DNA vaccination</u> ; <i>FEBS Lett.</i> 402:107-110 (1997)
32	10. Gregoriadis, et al., <u>Vaccine Entrapment in Liposomes</u> ; <i>Methods</i> 19:156-162 (1999)

EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

***EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.**

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,048
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
(USE SEVERAL SHEETS IF NECESSARY)		
APPLICANT Felgner et al.		
FILING DATE December 15, 2000		
GROUP Unknown		



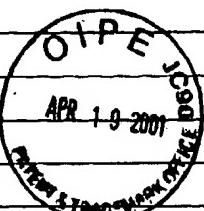
EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
32	11. Hong, et al., <u>Stabilization of cationic liposome-plasmid DNA complexes by polyamines and poly(ethylene glycol)-phospholipid conjugates for efficient in vivo gene delivery</u> ; FEBS Lett. 400:233-237 (1997)
32	12. Leserman and Barbet, <u>Targeting to cells of fluorescent liposomes covalently coupled with monoclonal antibody or protein A</u> ; Nature 288:602-604 (1980)
32	13. Liu, et al., <u>Factors influencing the efficiency of cationic liposome-mediated intravenous gene delivery</u> ; Nature Biotech. 15:167-173 (1997)
32	14. Mhashilkar, et al., <u>Inhibition of HIV-1 Tat-mediated LTR transactivation and HIV-1 infection by anti-Tat single chain intrabodies</u> ; EMBO J. 14:1542-1551 (1995)
32	15. Mhashilkar, et al., <u>Inhibition of Human Immunodeficiency Virus Type 1 Replication In Vitro In Acutely and Persistently Infected Human CD4 Mononuclear Cells Expressing Murine and Humanized Anti-Human Immunodeficiency Virus...</u> ; Hum. Gene Ther. 10:1453-1467 (1999)

EXAMINER <u>Zyman</u>	DATE CONSIDERED <u>4/20/04</u>
-----------------------	--------------------------------

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

***EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.**

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,048
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
APPLICANT Felgner et al.		
(USE SEVERAL SHEETS IF NECESSARY)		
FILING DATE December 15, 2000		GROUP Unknown



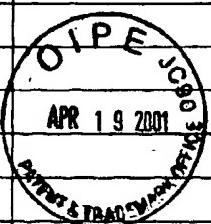
EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
32	16. Mhashkilkar, et al., <u>Inhibition of Human Immunodeficiency Virus Type 1 Replication In vitro by a Novel Combination of Anti-Tat single-Chain Intrabodies and NF-KB Antagonists</u> ; <i>J. Virol.</i> 71:6486-6494 (1997)
32	17. Reichert, <u>New biopharmaceuticals in the USA: trends in development and marketing approvals 1955-1999</u> ; <i>Trends Biotechnol.</i> 16:370-375 (1998)
32	18. Rojas, et al., <u>Controlling Epidermal Growth Factor (EGF)-stimulated Ras Activation In Intact Cells by a Cell-permeable peptide Mimicking Phosphorylated EGF Receptor</u> ; <i>J. Biol. Chem.</i> 271:27458-27461 (1996)
32	19. Rojas, et al., <u>Genetic engineering of proteins with cell membrane permeability</u> ; <i>Nature Biotechnol.</i> 16:370-375 (1998)
32	20. Schwarze, et al., <u>In Vivo Protein Transduction: Delivery of a Biologically Active Protein Into the Mouse</u> ; <i>Science</i> 285:1569-1572 (1999)

EXAMINER *[Signature]* **DATE CONSIDERED** *4/26/04*

***EXAMINER:** INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

***EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.**

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Feigner et al.	
		FILING DATE December 15, 2000	GROUP Unknown

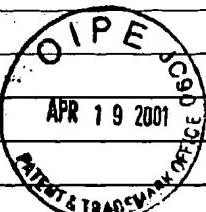


EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
32	21. Schwarze, et al., <u>Protein transduction: unrestricted delivery into all cells?</u> ; <i>Trends Cell Biol.</i> 10:290-295 (2000)
32	22. Tseng, et al., <u>Transfection by Cationic Liposomes Using Simultaneous Single Cell Measurements of Plasmid Delivery and Transgene Expression</u> ; <i>J. Biol. Chem.</i> 272:25641-25647 (1997)
32	23. Zelphati, et al., <u>Gene Chemistry: Functionally and Conformationally Intact Fluorescent Plasmid DNA</u> ; <i>Hum. Gene Ther.</i> 10:15-24 (1999)
32	24. Zelphati, et al., <u>Intracellular Distribution and Mechanism of Delivery of Oligonucleotides Mediated by Cationic Lipids</u> ; <i>Pharm. Res.</i> 13:1367-1372 (1996)
32	25. Zelphati, et al., <u>Mechanism of oligonucleotide release from cationic liposomes</u> ; <i>Proc. Natl. Acad. Sci. USA</i> 93:11493-11498 (1996)

EXAMINER James DATE CONSIDERED 4/20/04
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

***EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.**

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)		FILING DATE December 15, 2000	GROUP Unknown



EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
<i>ZL</i>	26. Zelphati, et al. <u>PNA-Dependent Gene Chemistry: Stable Coupling of Peptides and Oligonucleotides to Plasmid DNA</u> ; BioTechniques 28:304-310 (2000)

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant.

***EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.**

Attach to paper no. 4

SHEET 1 OF 4

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
JUN 18 2001 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		RECEIVED	
		APPLICANT Felgner et al.	JUN 21 2001
		FILING DATE December 15, 2000	GROUP 2651 Technology Center 2600

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)	RECEIVED
							AUG 22 2001
							TECH CENTER 1600/2900
							RECEIVED
							AUG 17 2001
							Technology Center 2600
							RECEIVED
							JUL 3 1 2001
							RECEIVED

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
32	1 WO 99/13719	03/25/99	PCT WIPO				
32	2 WO 99/58152	11/18/99	PCT				
32	3 WO 99/08997	02/25/99	PCT WIPO				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
32	4 International Search Report from PCTAUS00/03060
32	5 Abai A. M. et al.; "Mechanism of Cationic Lipid / Cell Interactions and a General Strategy for Intracellular Protein Delivery"; <i>Journal of Cell Biology</i> , vol. 111, no. 5 part 2; 1990; page 380A.
32	6 Afzelius, P., et al.; "Covalent Modification of Serum Transferrin with Phospholipid and Incorporation into Liposomal Membranes"; Biosciences Information Service, Philadelphia, PA, US; 1989; database accession no. PREV198987111700 XP002166274.
32	7 Schwendener R.A., et al.; "Comparative Studies of the Preparation of Immunoliposomes with the Use of Two Bifunctional Coupling Agents and Investigation of In-Vitro Immunoliposome-Target Cell Binding By Cytofluorimetry and Electron Microscopy"; Biosciences Information Service, Philadelphia, PA, US; 1990; database accession no. PREV199090083433 XP002166275.
32	8 Zelphati, Oliver, et al.; "Gene Chemistry: Functionally and Conformationally Intact Fluorescent Plasmid DNA"; Biosciences Information Service, Philadelphia, PA, US; January 1, 1990; database accession no. PREV198900008284 XP002166276.
32	9 Zheng, Lian, et al.; "Delivery of Liposome-Encapsulated HIV Type 1 Proteins to Human Dendritic Cells for Stimulation of HIV Type 1-Specific Memory Cytotoxic T Lymphocyte Responses"; <i>AIDS Research and Human Retroviruses</i> , vol. 15, no. 11; July 20, 1999; pages 1011-1020.

EXAMINER	32	DATE CONSIDERED	4/20/2004
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			
(USE SEVERAL SHEETS IF NECESSARY)			
 <small>PATENTS & TRADEMARKS</small>		APPLICANT Felgner, et al.	
		FILING DATE December 15, 2000	GROUP 1835

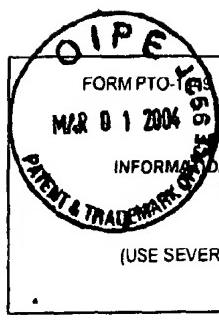
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
32		5,459,127	10/1995	Felgner, et al.			
32	1	6,075,012	06/2000	Gebeyehu, et al.			

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
					YES	NO	

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
2	International Search Report re: PCT/US03/13873; Date of mailing of ISR: September 10, 2003.	
32	Walker, et al., "Cationic lipids direct a viral glycoprotein into the class I major histocompatibility complex antigen-presentation pathway", Proc. Natl. Acad. Sci. USA, September 1992, Vol. 89, pp. 7915-7918.	
32	Ljungstrom, et al., "Cellular uptake of adamantyl conjugated peptide nucleic acids", Bioconjugate Chem. 1999, Vol. 10, pp. 965-972.	

S:\DOCS\MTMMTM-5164.DOC:dmr
100703

EXAMINER	<i>James Zan</i>	DATE CONSIDERED	<i>7/19/2004</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			



SHEET 1 OF 1

 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,048
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
(USE SEVERAL SHEETS IF NECESSARY)		
APPLICANT Felgner, et al.		
FILING DATE December 15, 2000		
GROUP 1648		

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

S:\DOCS\MTM\MTM-5778.DOC
022604.dmr

EXAMINER <i>Joe Lee</i>	DATE CONSIDERED <i>4/19/04</i>
-------------------------	--------------------------------

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.